PATENT

## UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT:

STEFFEN PANZNER-1 (PCT)

SERIAL NO.:

09/831,975

FILED:

MAY 16, 2001

FOR:

NANOCAPSULES AND METHOD OF PRODUCING SAME

INFORMATION DISCLOSURE STATEMENT

BOX NON-FEE AMENDMENT Assistant Commissioner of Patents Washington, D.C. 20231

Sir:

C TANGE TO T Applicant is enclosing Form PTO-1449 disclosing the references cited in the International Search Report, copy enclosed. Since it is believed that copies of these references were submitted by the International Office, no copies are enclosed. There are also many references discussed in the specification from page 2, paragraph 2 through to page 11, paragraph 4. Copies of these references are enclosed. respectfully requested that the foregoing Information Disclosure Statement (IDS) be incorporated into the official file of the present patent application. Because this IDS is being filed before a first Office Action on the merits, it is believed that no fee is required. However, if a fee should be required for this IDS, the Commissioner of Patents and Trademarks is hereby authorized to charge any required fee, or to credit any overpayment to Deposit Account No. 03-2468.

> Respectfully submitted, STAFFEN (RANZNER

COLLARD & ROE, P.C. 1077 Northern Boulevard Roslyn, New York 11576

(516) 365-9802

ERF/llv

Allison C. Collard Reg. No. 22,532 Edward R. Freedman, Reg. No. 26,048 Attorneys for Applicant

Enclosures: Form PTO-1449, copy of International Search Report and fourteen (14) references

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231, on October 16, 2001.

|                                       | 618   | , E ACE   |   |                             |  |          |               | Page <u>1</u>      | _ of <u>_2</u> |  |
|---------------------------------------|---|---|---|-----------------------------|--|----------|---------------|--------------------|----------------|--|
| FORM PTO-14<br>(REV. 7-80)            | U.S. DEPARTMENT OF COMMERCE PATE AND TRADEMARK OFFICE |   |   |                             | ATTY. DOCKET NO.: SERIAL NO. 09/831, 975 PANZNER - 1 (PCT) |          |               |                    |                |  |
| LIST OF REFERENCES CITED BY APPLICANT |   |   |   | T APP                       | APPLICANT: STEFFEN PANZNER                                 |          |               |                    |                |  |
| (Use several sheets if necessary)     |   |   |   |                             | FILING DATE: 05/16/2001 GROUP:                             |          |               |                    |                |  |
|                                       |   |   | U.S   | . PATEN                     | T DOCUMENTS  |          |               |                    |                |  |
| EXAMINER                              |   | DOCUMENT NUMBER   | DATE  |                             | NAME   |          | S SUBCLASS    | SUBCLASS FILING DA |                |  |
| ·                                     | AA  | 4,622,294 11/1986   |   | Kun                         | Kung et al. (enclosed)                                     |          |               |                    |                |  |
|                                       | AB  | 5,043,158   | 08/1991   | Sley                        | rtr et al. (enclosed)                                      |          |               |                    |                |  |
|                                       | AC 5,498,421 03/1996                                  |   | Grin  | Grinstaff et al. (enclosed) |  |          |               |                    |                |  |
|                                       | AD  | 5,512,268   | 04/1996   | Grin                        | staff et al. (enclosed)                                    |          |               |                    |                |  |
|                                       | AE  | 5,635,207   | 06/1997   | Grin                        | staff et al. (enclosed)                                    |          |               |                    |                |  |
| AF 5,639,                             |   | 5,639,473   | 06/1997   | Grin                        | Grinstaff et al. (enclosed)                                |          |               | 12                 |                |  |
|                                       | AG  | 5,650,156   | 07/1997   | Grin                        | Grinstaff et al. (enclosed)                                |          |               | 2                  | ,<br>ا         |  |
|                                       | АН  | 5,665,383   | 09/1997   | Grin                        | staff et al. (enclosed)                                    |          |               | د کی ا             | 心              |  |
|                                       | Al  | 5,834,556   | 11/1998   | Desa                        | ni et al.  |          | (,            | <b>*</b> ~         | 7              |  |
|                                       | AJ  |   |   |                             |  |          |               | 0                  | ? <b>`</b>     |  |
|                                       | AK  |   |   |                             |  |          |               | 0                  |                |  |
|                                       |   |   | FORE  | GN PATE                     | NT DOCUMENTS   |          |               |                    |                |  |
|                                       |   | DOCUMENT NUMBER DATE  |   |                             | COUNTRY  |          | SUBCLASS      | TRANSLATION        |                |  |
|                                       | AL  |   |   | Europe                      | urope (enclosed)   |          | -             | YES                | NO             |  |
|                                       | AM  |   |   | Europe                      |  |          |               |                    | <del> </del>   |  |
|                                       | AN  | 0 199 302   | 10/1700   | Europe                      |  |          |               |                    |                |  |
|                                       | AO  |   |   |                             |  |          |               |                    |                |  |
|                                       | AP  |   |   |                             |  |          |               |                    |                |  |
| <u>_</u>                              | 1   | OTHER REFE  | RENCES (II  | ncludina A                  | uthor, Title, Date, Pertine                                | ent Page | s Etc.)       |                    | <u> </u>       |  |
|                                       |   |   |   |                             | r, U.B. (1995), Bioche                                     |          |               | 235 (2)            | nn             |  |
|                                       | AR  |   |   | ina bieyt                   | 1, O.D. (1999), Block                                      | om. Dio  | pirys. ricia, | 1233 (2)           | , pp.          |  |
| 263-269. (enclosed)                   |   |   |   |                             |  |          | 202 nm 11     | 11 1112            |                |  |
|                                       | AS  | Caruso, F., Caruso, R.A. und Möhwald, H. (1998), Science, 282, pp. 1111-1113.  (enclosed) |   |                             |  |          |               |                    |                |  |
|                                       |   | l l   | G. Hermanson, (1996), Bioconjugate Techniques. (enclosed) |                             |  |          |               |                    |                |  |
|                                       | АТ  | O. Heilia   | 113011, (1990   | <i>)</i> , DIOCO            | injugate recinnques. (6                                    | LITOTOSE | u <i>)</i>    |                    |                |  |
| EXAMINER                              | <u></u>   | 1 1   |   |                             | DATE CONSIDERED  |          |               |                    |                |  |
| ·                                     | ***   |   |   |                             | P 609: draw line through citation if not                   |          |               | · · · ·            | -              |  |

| FORM PTO-1449<br>(REV. 7-80)   | U.S. PARTMENT OF COMMERCE<br>PATES AND TRADEMARK OFFICE |  |                                       | 1         | DOCKET NO.:<br>NZNER-1 (PCT)          | s          | SERIAL NO. 09/831,975 |                            |       |  |  |
|--|---|--|---------------------------------------|-----------|---------------------------------------|------------|-----------------------|----------------------------|-------|--|--|
| LIST OF REFERENCES CITED BY APPLICANT  (Use several sheets if necessary) |   |  |                                       | APPLI     | APPLICANT: STEFFEN PANZNER            |            |                       |                            |       |  |  |
|  |   |  |                                       | FILING    | GDATE: 05/16/200                      | 1 G        | GROUP:                |                            |       |  |  |
|  |   |  | U.S. 1                                | PATENT    | DOCUMENTS                             |            |                       |                            |       |  |  |
| EXAMINER   |   | DOCUMENT NUMBER                                  | DATE                                  |           | NAME                                  | CLAS       | S SUBCLASS            | FILING DATE IF APPROPRIATE |       |  |  |
|  | AA  |  |                                       |           |                                       |            |                       |                            |       |  |  |
|  | AB  |  |                                       |           |                                       |            |                       |                            |       |  |  |
|  | AC  |  |                                       |           |                                       |            |                       |                            |       |  |  |
|  | AD  |  |                                       |           |                                       |            |                       |                            |       |  |  |
|  | AE  |  |                                       |           |                                       |            |                       |                            | ····· |  |  |
|  | AF  |  |                                       |           |                                       |            |                       |                            |       |  |  |
|  | AG  |  |                                       |           |                                       |            |                       |                            |       |  |  |
|  | АН  |  | <u> </u>                              |           |                                       |            |                       |                            |       |  |  |
|  | AI  |  |                                       |           |                                       |            |                       |                            |       |  |  |
|  | AJ  |  |                                       |           |                                       |            |                       |                            |       |  |  |
|  | AK  |  |                                       |           |                                       |            |                       |                            |       |  |  |
|  | · •   |  | FOREIG                                | N PATE    | NT DOCUMENTS                          |            |                       |                            |       |  |  |
|  |   | DOCUMENT NUMBER                                  | DATE                                  |           | COUNTRY                               |            | SUBCLASS              | TRANSLATION                |       |  |  |
|  | AL  |  |                                       |           |                                       |            |                       | YES                        | NO    |  |  |
|  | AM  |  |                                       |           |                                       |            |                       |                            |       |  |  |
|  | AN  |  |                                       |           | <del></del>                           |            |                       |                            |       |  |  |
|  | AO  |  |                                       |           |                                       |            |                       |                            |       |  |  |
|  | AP  |  |                                       |           |                                       |            |                       |                            |       |  |  |
|  | <u> </u>  | OTHER REFER                                      | RENCES (Inc                           | cluding A | uthor, Title, Date, Perti             | inent Page | es, Etc.)             |                            |       |  |  |
|  | AR  |  |                                       |           | 7 (1976). (enclosed)                  |            |                       |                            |       |  |  |
|  |   | A relation Dischargistms 76.62 (1076) (constant) |                                       |           |                                       |            |                       |                            |       |  |  |
|  | AS  | Analytical Biochemistry 76:63 (1976). (enclosed) |                                       |           |                                       |            |                       |                            |       |  |  |
|  | АТ  |  |                                       |           |                                       |            |                       |                            |       |  |  |
|  |   |  | · · · · · · · · · · · · · · · · · · · |           | · · · · · · · · · · · · · · · · · · · |            |                       |                            |       |  |  |
| EXAMINER   |   |  |                                       |           | DATE CONSIDERED                       |            |                       |                            |       |  |  |